MWA POLICY
on
ARS-115 REQUEST TO SUBMIT MANUSCRIPT FOR PUBLICATION

- **Full** responsibility for manuscript quality has been delegated to the Research Leader.
- **Research Leader** will be responsible for the proper preparation and review of manuscripts that are authored by scientists in his/her unit.
- **Oversight** may be done by the RL or it may be delegated to a scientist in the unit with skills in research design and manuscript preparation.
- **Level of review** prior to submission to a refereed journal will be at the discretion of the RL.
- **ARS-533s** will be eliminated except in unusual cases when it is deemed necessary by the RL.If ARS-533s are required, the regulations have been waived that required the peer reviewers be located outside the author's (or authors') research unit.
- **When** the Research Leader's electronic signature is entered on the ARS-115 in ARIS, for all submissions OTHER THAN THOSE DEEMED SENSITIVE, this constitutes approval for the manuscript to be submitted for publication.
- **Submissions** regarding Sensitive Issues must have Area Director approval to be submitted for publication.
- **Area Director's** electronic signature entered on the ARS-115 in ARIS indicates approval for publication to be used in scientist performance appraisal packages.
- A**rea Office** will review the ARS-115 Interpretive Summary and Technical Abstract fields before electronically signing.

Impact Reporting

What is impact? Impact is the difference research makes in people's lives. In more technical terms, impact is the reportable and verifiable difference a program makes in the lives of citizens.

Impact reporting lets the scientist:

- Provide public accountability
- Provide program accountability
- Show a return on an investment
- Foster a better public understanding of the entire picture of research
- Obtain future funding
- Increase awareness of all programs within our Agency

An impact statement is a brief summary, in lay terms, of the economic, environmental and/or social impact of research efforts. It states accomplishments and their benefit to society. An impact statement answers the questions, "So what?" and "Who cares?" "Why?"

The impact audience may be:

- The general public
- Local governing bodies
- State officials
- Federal officials
- Scientific peers
- External funding sources
- Industry representatives

The audience may:

- Exercise some kind of control over research programs
- Want information vital to decisions
- Have lots of competition for their attention
- Want quantifiable differences brought about by investments in research programs

The audience may expect change in at least one of the following areas:

- Societal/individual well-being
- Environmental quality
- Economic value of efficiency

In addition, potential impact should be considered, especially in basic research, when impact is hard to define in quantitative terms. Include the following information in impact statements:

- The most likely benefactors of the research
- Expected outcome and why

- An idea of how long it will take to reach expected outcomes
- Real or hypothetical examples of expected outcomes

To develop a quality Impact Statement, include:

- Impact area (audience, customers)
- Issues (research problem or area)
- What has been done (result: quantifiable facts or future expected outcome)
- Impact (use: social, environmental, economic)

Target the impact statement to whomever (everyone?) you want to understand that activity.

Grading Impact Statements:

- A = High Impact Value (Social, Environmental, Economic)
- B = Moderate Impact Value (Nice to know information)
- C = Low Impact Value (Nothing to show)
- D = No Impact Value (So what?)

MWA GUIDE INDEX
for
ARS-115 REQUEST TO SUBMIT MANUSCRIPT FOR PUBLICATION
Supplement to ARIS On-Line Manual
Chapter 5

List of High Profile Topics*
July 2003 (Revised)

* *Manuscripts and abstracts dealing with these topics will be forwarded to the Area Office and then to the National Program Staff through ARIS to keep management aware of new research results*

- Creation of transgenic agricultural organisms by genetic engineering.
- Biotechnology risk assessment research (gene flow, unintended ecological effects) that is likely to affect policy and/or regulatory actions.
- Cloning of animals by somatic cell nuclear transfer.
- Somatic cell fusion to recombine DNA in ways that cannot be achieved through sexual crossing.
- Dioxin research.
- Intellectual property rights and patent policy of agricultural organisms.
- Agricultural (crop and animal) practices that may increase emissions of greenhouse gases (i.e., carbon dioxide, methane, nitrous oxide); impacts of global change on human health.
- Agricultural (crop and animal) practices that threatens human health and the environment through introduction of hazardous materials, including excess nutrients, pesticides, salts, trace elements, pathogens, and pharmaceutically active compounds into soils and water.
- Agricultural (crop and animal) practices that threatens human health and the environment though introduction of particulates, ammonia, hydrogen sulfide, volatile organic compounds, methane, nitrous oxides and pathogens into air.
- Boll weevil eradication program.
- Policies related to international plant, animal, and microbial genetic resources.
- Research findings and recommendations that are contrary to current dietary guidelines or may be used in food labeling.
- Megadoses of nutrients that may be beneficial to human health/nutrition.
- Radiolytic products in food.

- Harmful microorganisms and their products (e.g., aflatoxin, mycotoxin, fumonisin, Salmonella, E. Coli) in agricultural commodities.
- Pesticides or animal drugs in foods above approved tolerance levels.
- All transmissible encephalopathy (TSE) research including BSE research.
- Development of herbicide-resistant plants.
- Animal well-being/animal use.
- Biological items that may affect trade and export negotiations, e.g., fire blight in apples, TCK smut, karnal bunt, insect infestations in export products, etc.
- Narcotic plant control.
- Methyl bromide topics that relate to policy and/or regulatory actions.
- Medfly/Malathion replacements.
- Research studying antibiotic/antimicrobial resistance.
- Bioterrorism/attacks on agriculture.
- Glassy-winged sharpshooter/Pierce's disease.
- Sudden Oak Death.
- Asian Citrus Canker.
- Anthrax.
- Emerging diseases or pest research that may impact policy and/or regulatory actions.
- Ralstonia bacterial brown rot.
- Soybean rust.
- West Nile Virus.

Responsibilities for Approving Manuscripts

These instructions clarify responsibilities for approving (a) manuscripts reporting results from Cooperative Research and Development Agreements (CRADAs), (b) manuscripts that include non-ARS authors, and (c) manuscripts related to issues generally considered “sensitive” according to criteria defined by the National Program Staff. Although no formal documentation is required, authors and line managers should ensure that all contributors have had an opportunity to review and comment on draft manuscripts. Proposed publications relating to sensitive issues should be carefully reviewed by both line and program management before submission to journals, or before release to the public through Tektran, oral presentations, or through webpage publication of abstracts.

Manuscripts Reporting CRADA Research:

Line managers should pay close attention to manuscripts reporting research performed under a CRADA. By law, information may be considered confidential (withheld from publication) for up to 5 years if such information would be construed as proprietary if it had been developed solely by a private sector company. Therefore, each CRADA negotiated and signed by ARS specifically defines (a) the duration under which such information will not be released without written permission of the CRADA partner, and (b) the amount of time an ARS author is obligated to permit the CRADA partner to comment on a draft manuscript. Typically, ARS CRADAs (a) will allow withholding confidential materials from publication for up to1 year, and (b) will provide 60 or 90 days for cooperators to review draft manuscripts regardless of authorship. See terms in your copy of the specific CRADA identified on the 115. By selecting the appropriate CRADA No. in the drop down list of Agreements, acknowledgment of CRADA partners will be automatically included in submissions to Tektran. By ensuring that cooperators have reviewed draft manuscripts, line managers can avoid premature disclosure of information that could jeopardize protection of intellectual property or proprietary information developed by cooperators.

Manuscripts that include non-ARS authors:

ARS authors are selected from a list of employees by selecting the “add ARS author” button. For non-ARS authors, the “add non-ARS author” button must be selected, and the affiliations must be entered manually. ARIS will recognize when listed authors are not ARS employees, and the “cleared” box must be checked for each non-ARS author before a 115 can be submitted electronically for approval. Please note that by checking the “cleared” box, submitters are indicating that non-ARS authors have reviewed and approved the interpretive summary (if provided), technical abstract, and are indicating that cooperators are authorizing release of their affiliation in the submission to Tektran. Although ARS does not uniformly require documentation by the submitter, policies may vary by Area Office. It is recommended that submitters of 115s keep notes or email correspondences in the manuscript file to refute potential criticism from co-authors.

Review of “sensitive issues” list:

For convenience, the current list of sensitive issues, as developed by the National Program Staff, is available for review by submitters and approval officials. A “Y” in the “sensitive” box only ensures proper line and program management review of the 115 during the approval process. It does not withhold information from publication or public release of information through Tektran. If submitters seek approval to publish a manuscript, but want to delay or withhold release of information through Tektran, one of two boxes on the Journal/Patent tab must be deliberately checked. Checking the

box labeled “hold from Tektran until published” will ensure that ARIS programming does not submit entries to Tektran until after the publication date has been exceeded. In contrast, checking the box labeled “hold from Tektran permanently” will ensure that the information contained in the 115 will never be released to the public through Tektran. Line and program management envisions using this option only when public release of information to webpages is prohibited by policies and procedures associated with Homeland Security issues. The field “confidential until published” is linked to specific publication requirements of the journal; this field can not be edited by submitters. Special circumstances or additional relevant information can be provided by submitters or approval officials in the “Remarks” tab of the 115. This information is for internal use only and is not submitted to Tektran.

UNIT AFFILIATION ON MANUSCRIPT

Author affiliation on the manuscript must include all of the following:

(a) Unit or Laboratory Name
(b) Center Name (if applicable)
(c) USDA, Agricultural Research Service
(d) University Department Name and University Name (if applicable)
(e) City, State, Zip Code

DISCLAIMER ON MANUSCRIPT

When proprietary or brand names are used, add one of the following disclaimers to the manuscript before submission:

"Mention of trade names or commercial products in this [article] [publication] is solely for the purpose of providing specific information and does not imply recommendation or endorsement by the U.S. Department of Agriculture."

“Names are necessary to factually report on available data; however, the USDA neither guarantees nor warrants the standard of the product, and the use of the name by USDA implies no approval of the product to the exclusion of others that may also be suitable.”

INTERPRETIVE SUMMARY GUIDELINES

Interpretive Summaries are critical to the ARS-115 program, and should be written to relate the meaning or value of the research in terms understandable to the general public. The Agency uses them for decision making about resource allocations, budget development, program planning, technology transfer, and communication with Congressional and Executive Branch policymakers. An Interpretive Summary should include:

1. A background statement explaining the problem. (Explain the rationale for the problem that is being studied or solved.)

2. A **description of WHAT was found or accomplished, not HOW it was done**.

3. A statement of why the results are important. State **WHO will benefit and WHAT the benefit will be**. Why are the results important to scientists, producers industry, or other users? The impact of the research may be very obvious to a colleague but not obvious to a layperson. Therefore, we are asking that the impact statements be stated in the clearest way possible at the end of the Interpretive Summary.

Explain in terms that won't require a dictionary for your neighbor to understand. Don't use Latin names, jargon or scientific terms, and summarize the results in words, not data.

PEER REVIEW

The Peer Review process for manuscripts is waived. However, the process can be utilized if the Research Leader feels the manuscript would benefit.

PATENTABLE INFORMATION

If information is being published or presented that has patentable information, the ARS-115 block "Due to patent potential, is retention of intellectual property rights desired?" is to be marked "YES". If "YES," upon completion of the approval process (RL-CD-AD-NPS-ADA-OCI-Patent Advisor), the ARS-115 will move to "ACTIVE" status in ARIS. The ARS-115 will be held in the ARS "ACTIVE" database during the review process by the Patent Advisor. While in the ARS "ACTIVE" database, the publication may be viewed by anyone in ARS. The publication will be moved to TEKTRAN either after a patent has been filed or a determination made that no patent will be filed. At that time, the publication may be viewed by anyone with access to TEKTRAN.

A patent application submitted during a current Performance Appraisal Period or an ARS-115 with patentable information which does not appear in the ARS "ACTIVE" database at the end of the Performance Appraisal rating period may be included in the Detail by Author Report by the Research Leader penciling it in.

"Z" - "Patent Application" PUBLICATION TYPE may be used to update the ARS-115 database when a patent application has been granted a #.

AUTHORSHIP INVOLVING MORE THAN ONE AREA OR RESEARCH UNIT

The approval process should be initiated by the most SENIOR ARS author and the ARS-115 initiated electronically by the Research Unit of the CRIS Project, predetermined by the authors. The ARS-115 and enclosures should go FIRST to the RL(s) of the OTHER ARS author(s) for signature and LAST through the SENIOR author's RL, CD. This is also the time to obtain clearance by any cooperative agencies and/or institutions.

TECHNICIAN AUTHORSHIP OF SCIENTIFIC PUBLICATIONS

It is only under exceptional circumstances that the contributions of a technician will serve to warrant JUNIOR authorship of a publication. This

decision has been delegated to the Research Leader, who will follow P&P 152.2, "Authorship of Research and Technical Reports and Publications," dated May 12, 1997, and provide justification for the decision if requested.

Senior authorship by anyone other than a Category 1 2 or 4 scientist will need prior approval by the Area Director. See P&P 152.2.

COPYRIGHT

An ARS employee has no right of copyright for published material. Per Copyright Law, Government products cannot be copyrighted, and articles written by a Federal employee as part of his/her official duties are Government products and, as such, can be freely copied by the public.

In responding to a publisher's request to sign a transfer of copyright, the ARS employee should return the form unsigned with the following statement:

"The article cited was prepared by a USDA employee as part of his/her official duties and cannot legally be copyrighted. The fact that the private publication in which the article appears is itself copyrighted does not affect the material of the U.S. Government, which can be reproduced by the public at will."

NON-DISCRIMINATION STATEMENT

Any document that requires approval from the Information Staff prior to publication and will be distributed outside ARS will need the following Non-Discrimination Statement:

"All programs and services of the U.S. Department of Agriculture are offered on a nondiscriminatory basis without regard to race, color, national origin, religion, sex, age, marital status, or handicap."

MATRIX

TYPE	JOURNAL OR EQUIVALENT	FIRST FORMAL REPORT **	INTER. SUMM.	TECH. ABS.	PEER REVIEW
J	Peer Reviewed Journal	Yes	Yes	Yes	No
G	Germplasm Release	Yes	Yes***	Yes	No
A	Abstract	No	No	Yes	No
P	Proceedings/Symposium	No**	No	Yes	No
B	Book/Chapter	No**	No	Yes	No
R	Review Article	No	No	Yes	No
X	Other	No**	No	Yes	No
N	Research Notes	No	No	Yes	No
L	Literature Review	No	No	Yes	No
V	Government Publication	No**	No	Yes	No
T	Trade Journal	No	No	Yes	No
M	Monograph	No**	No	Yes	No
E	Experiment Station	No**	No	Yes	No
O	Popular Publication	No	No	Yes	No
Z	Patent Application	No	No	Yes	No

** If the publication is a "First Formal Report Other than Abstract," mark that block on the ARS-115 "YES" and an "INTERPRETIVE SUMMARY" is required.

*** Germplasm Release is considered "First Formal Report", however, an Interpretive Summary need not be written. Enter statement such as, "This is a Germplasm Release, no Interpretive Summary Required."

INTERPRETIVE SUMMARY AND TECHNICAL ABSTRACT

Prepare the Interpretive Summary or Technical Abstract offline in word processing software. Copy and paste to the appropriate Interpretive Summary and/or Technical Abstract fields in the ARS-115.

USING SYMBOLS IN THE ARS-115

ARIS does not allow the use of Scientific Notations (symbols).

PERSONNEL PICKS

ARS Submitter, Contact Scientist and Author names are selected from the Personnel file that's kept by National Finance Center (NFC) in New Orleans, and entered into ARIS by the HQS computer staff weekly; anytime a personnel change occurs it takes a period of time to get processed by NFC and then another period of time to get the change into ARIS.

A personnel action to change the Personnel file at NFC should be initiated if the scientist prefers the name to appear differently than what shows when selected.

After selecting Author(s) from within the MU, Authors from other MUs or non-ARS Authors may be added. Author entries may be modified or deleted.

JOURNAL OR EQUIVALENT

The Journal or Equivalent is selected from a constantly changing Journal Table.

Only people at the Area or HQS level can be add to, delete from or modify the Journal Table.

If the journal isn't found, an Email message should be sent to the Program Analyst to enter the journal name needed.

The journal name should be the name of the publication in which the research will be published. The Journal Table will be accurate only if the correct name is entered, so if the scientist will provide the correct name each time an ARS-115 entry is needed, it will help ensure accuracy. If an incorrect name is found, please contact the Program Analyst, who will modify or delete it.

GUIDELINES FOR REQUESTING JOURNAL CODES

Use of Generic Journal Codes:

1. If, at the time of submitting an ARS-115, the actual name of the publication has not been determined or is not known, use the appropriate generic journal code as listed below. Describe the publication in the remarks section of the ARS-115.

2. When a publication of some type results, and the actual name of the publication is known, request the specific journal code, and add it at the same time you add the acceptance date to the ARS-115.

3. The generic journal codes are confidentiality "No." **When the SY, organization, or publisher requires confidentiality until published and a generic code is used,** check the "Hold from Tektran until Published" box. When you add the publication date and citation, remove the check.

Currently Available Generic Journal Codes

Journal Name	Journal Code
ARS Publication	00050
Experiment Station Bulletins	00856
Extension Publications	00868
Extension Reports	00869
Extension Service Bulletins	00870
Laboratory Publication	01630
Agricultural Research Service Station Bulletin	03291
Book Chapter	03708
Complete Book	04321
Meeting Abstract	04466
World Wide Web	04864
Invention Report	05684
Internet Web Page	06536
Electronic Publication	06844
Agricultural Experiment Station Publication	08969
Meeting Proceedings	89158
Popular Publication	90145
Review Article	90146
Trade Journal Publication	90147
Government Publication/Report	90148

Information to be provided when Requesting Journal Codes:

1. Name of Publication (do not abbreviate)

2. Publication Type (Journal, Book chapter, etc.)

3. Confidentiality Status Yes or No

4. Publisher, when known (helps distinguish between similar journals, titles, etc.)

Journal Codes for Recurring Meetings, Conferences, Symposiums, etc.

1. To avoid adding journal codes every year for recurring meetings, symposiums, conferences, etc. the dates of meetings are included in the title, i.e. 2004 Forage Society Meeting Proceedings will be “Forage Society Meeting Proceedings” and “7th International Congress of Plant Pathologists” will be “International Congress of Plant Pathologists.” The meeting dates, number, etc. can be identified in the Remarks section of the ARS-115.

MODIFICATIONS THAT DO NOT TRIGGER APPROVAL PROCESS AGAIN

Listed below are the six fields that can be modified on the 115 and not trigger it to go thru the approval process again.

Citation
Acceptance Date
Date Submitted to Journal
Publication Date
Remarks
URL address

It is extremely important that ARS-115s be updated throughout the year with 1) Date Submitted to Journal; 2) Acceptance Date; 3) Publication Date; and 4) Citation Information. The Date Submitted to Journal is self-explanatory; the Acceptance Date field is to be modified as soon as the scientist receives notification of acceptance for publication, and the Publication Date and Citation field is to be modified as soon as the reprint of the publication or copy of the journal is received by the scientist. It's good practice for the reprint or copy of the journal paper title page to be given to the Management Unit Secretary just as soon as it's received by the scientist.

Adding Journal Acceptance Date, Publication Date and Citation Information

In order to add a Journal Acceptance Date and/or Publication Date, and citation information:

- Create a work.
- Go to your Work file list screen and find the work record for the 115 that needs modification.
- Click on the Journal/Patent tab and add the Acceptance date and/or Publication date.

2. In order to create the citation information, an Acceptance Date **AND** Publication Date must be entered. Once these dates are entered, click on the Generate Citation button. The citation information will propagate to the field in upper/lower case as follows:

   Authors – upper/lower case
   Title – first word of title upper case, other words all lower case
   Journal Title – upper/lower case

NOTE: The citation information generated will not be 100% accurate due to system restraints, so the citation information will need to be reviewed and modified accordingly. See ARS-115 and 421 Publication Format for format examples.

- Periods will be used after first and middle initials.
- Full titles of journals will be used since they will propagate from the Journal Code reference table.
- For Abstracts, “[abstract]” will propagate after the title so it is easily distinguishable that the publication is an abstract.
- The Journal Code reference table will be converted to upper/lower case, which will propagate to the citation field.

You can also modify the information that propagates into the citation field. By double clicking in the citation field, the editor box will be displayed. This will enable you to see the whole citation and modify as necessary. ***Note:*** If the citation field contains information and the generate citation button is pressed, it will not overwrite the existing citation. You must clear out the citation to regenerate a new shell citation.

DETAIL BY AUTHOR REPORT

December 13 is the cutoff date for ARS-115 entry and submittal to the Area.

December 31 is the cutoff date for publications to be included in the documentation for current Performance Appraisals.

A copy of the Detail by Author Report is to be included with all Performance Appraisal documentation.

ARS-115s are maintained 3 full years in ARIS and then archived.